



October 26, 1961
NUMBER 3210.1

DDR&E

Department of Defense Directive

SUBJECT Administration and Support of Basic Research by the DoD

References: (a) Executive Order 10521, as mended, "Administration of Scientific Research by Agencies of the Federal Government"
(b) DoD Directive 3210.2, "Policy on Basic Research Grants and Title to Equipment Purchased Under Grants"
(c) Section XV, Armed Services Procurement Regulation
(d) DoD Directive 3210.1, "policy on Basic Research, " November 12, 1957 (hereby cancelled)

I. PURPOSE

This Directive states the policy of the Department of Defense on the administration and support of basic research.

II. CANCELLATION

Reference (d) is hereby superseded and cancelled.

III. DEFINITION OF BASIC RESEARCH

Basic research is that type of research which is directed toward increase of knowledge in science. It is research where the primary aim of the investigator is a fuller understanding of the subject under study.

IV. BACKGROUND

A. Reference (a) provides broad guidelines for administration of basic scientific research by Federal agencies. These guidelines state that while the National Science Foundation shall be increasingly responsible for providing Federal

support for general purpose basic research, the conduct and support by other Federal agencies of basic research in areas which are closely related to *their* missions is recognized as important and desirable and **shall** continue.

- B. The Director of Defense **Research** and Engineering **is** responsible to the Secretary of Defense for the **review** and direction of the basic **research** program of the **military** departments and other agencies of the Department of Defense authorized to conduct or support basic research, and shall ensure that this program **is** executed according to the provisions of Reference (a). This review will be of maximum **effectiveness** if **all** elements of the Department adhere to the same fundamental principles in their conduct and support of basic research.

v. PRINCIPLES

- A. **Basic** research is essential to the development of military **power**.
- B. Continuity is essential. to successful basic research. Therefore, long-term **planning** and funding of basic research will be employed to the maximum possible extent.
- c. Basic research may be conducted by competent scientists in universities and non-profit institutions, industry, military laboratories, or elsewhere.
- D. Sustained support of basic research **will** result in increased **effectiveness** and economies **in military programs**.
- E. Free and effective communication among scientists is **important** to basic research.

VI. POLICY

- A. It **is** the **policy** of the Department of Defense
 - 1. to conduct and support a broad and continuing **basic** research program to provide fundamental knowledge, with **emphasis** on that related to the needs of the Department of Defense; and
 - 2. to assure full utilization of our scientific resources and to extend those resources in those areas of science relevant to the mission of the Department of Defense;
and

3. to maintain, through such a program, effective **communica-
tion among** the scientists of the Department of Defense
and the scientists of the universities and industry; and
4. to coordinate this program of basic research with the
National Science Foundation; and
5. to **encourage the** support of basic research by other
government and private agencies.

VII. **IMPLEMENTATION**

- A. It is the responsibility of the Director of Defense Research and Engineering to produce, **on** a continuing **basis**, a sound basic **research** program **through** the coordination and integration of the elements of the **program** among the military departments and other agencies of the Department of Defense authorized to conduct or support basic research.
- B. **The Department** of Defense provides support of basic research by
 1. support of in-house laboratories. Basic research in laboratories of the *Department* of Defense or in laboratories of other government agencies, best qualified for such work in particular areas, should be encouraged.
 2. Grants to and contracts with educational and non-profit institutions. **In** situations **appropriate** for grants under the provisions of Reference (b), the grant instrument is the preferred method of supporting basic research by educational and other non-profit institutions.
 - 3* Contract with industry. Contracts **specifically** for basic research may be made with industrial contractors (including **small** businesses) which have a recognized special competence **in** a given area. In the administration of the provisions of Reference (c) which relate to the allowability **of** a contractor's independent research costs under certain Department of Defense contracts, **favorable** consideration should be given to independent basic research.
- C. The military departments and other agencies of the Department of Defense authorized to conduct or support basic research **will** provide the Director of Defense Research and Engineering with such **information** as he may **require** in order to carry out

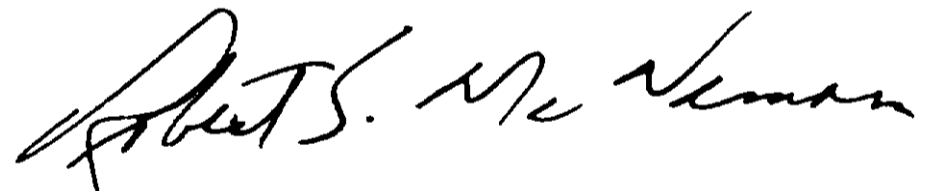
his responsibilities under this Directive, including annual reports ~~through~~ established administrative and fiscal channels of the following, by contract or grant and **dollar value**:

1. **Basic research performed** in government **laboratories**
2. **Basic research** grants to educational and non-profit institutions
3. Basic research contracts to educational and non-profit institutions
- 4* Basic research contracts to industrial contractors, including small business
5. Independent basic research recognized as an allowable cost in an **advance** agreement under the provisions of Reference (c). Such costs **shall** be reported via the Assistant Secretary of Defense (Installations and Logistics).

D. **Within 90** days of the effective date of this directive, two copies of implementing instructions issued by the **military** departments will be forwarded to the Director of Defense Research and Engineering.

VIII. EFFECTIVE DATE

This directive is effective immediately.



Secretary of Defense